

NCD 22 FEB 79 14

REQUEST FOR RECORD DISPOSITION AUTHORITY
(See Instructions on reverse)

TO GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Housing & Urban Development

2. MAJOR SUBDIVISION
New Communities Development Corporation

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Eva McPheron Room 7131

5. TEL EXT
755-6035

LEAVE BLANK

JOB NO
NCL-207-79-2

DATE RECEIVED
22 FEB 1979

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

12-11-79 *James E. O'Keefe*
Date Acting Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 10 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 1/17/78	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Robert J. Devlin</i>	E. TITLE Departmental Records Mgmt. Officer	
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>RECORDS DISPOSITION SCHEDULE 60</p> <p>New Communities Records</p> <p>This Schedule provides disposition instructions for records accumulating under those sections of the Housing and Urban Development Act of 1968 (P.L. 90-448), as amended, and Title VII of the Housing and Urban Development Act of 1970 (P.L. 91-609), as amended, which authorize Federal assistance to private and public new community developers. The program is designed to encourage the development of well-planned, diversified and economically sound new communities.</p> <p>The program provides for Federal guarantee of the bonds, debentures, notes, and other obligations issued by or on behalf of private and public new community developers. Federal guarantees of obligations issued by developers may not exceed \$50 million for each new community project. Development must accord with comprehensive area-wide planning, enhance the environment, contribute to the welfare of the area, provide for low- and moderate-income housing, and</p>		24 items

Copy to, NNB, NNF, NCU
12-14-79 s2 Clowout

Request for Records Disposition Authority - Continuation

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>encourage social innovation and improved technology.</p> <p>A developer goes through the following stages in applying for a Title VII guarantee and in developing a new town after receipt of such guarantee:</p> <p>(1) <u>Inquiry</u>: Developer submits letter of inquiry or meets with New Communities Administration (NCA) staff to discuss program applicability to his proposed project. NCA reviews preliminary master plan and other general information submitted by developer and determines if project falls under the general scope of the Title VII Act. If the determination is positive the developer is invited to submit a pre-application.</p> <p>(2) <u>Pre-application</u>: Developer submits in summary form evidence that the project would meet the criteria of the Title VII Act including preliminary development plans, financial and market analyses, and other information which would demonstrate compliance with the Act. Included in these files are staff analyses of the pre-application and correspondence with the developer in this stage.</p> <p>(3) <u>Application</u>: If NCA finds that the developer may comply with the Act, the developer is invited to submit a full application which must demonstrate that the developer can meet all requirements of the Act including a 20 year development plan and cash flow analysis, indepth market studies and financial analysis, appraisals, transportation and utilities plans, social plans and any other information needed to determine if the project complies with the provisions of the Act. NCA also conducts a full environmental review of the project during this stage. Included in these files are staff analyses of the application and correspondence with the</p>		

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	<p>developer and anyone else interested in the project during this stage.</p> <p>(4) <u>Closing</u>: If it is determined that the project does comply with the Act and terms are worked out between the developer and NCA regarding project development and financing, the project proceeds to closing at which time the Project Agreement between the developer and the Secretary of HUD is signed which contains a plan for the development of the project. An Indenture of Mortgage and Deed of Trust is also executed at this time which subjects the developer's land to a lien by the Secretary.</p> <p>(5) <u>Implementation</u>: These files contain all information submitted by the developer which is necessary for NCA to monitor the progress of development of the new town to assure conformity with the Act and the agreements executed at the Closing. Included in these files are monthly, quarterly and annual narrative, statistical and financial progress reports. Updated development plans and cash flow analysis and any correspondence with the developer.</p> <p>Twelve projects are in various stages of development. One project is being phased out. No new applications for guarantee assistance have been accepted since January 1975. However, the program is anticipated to reopen in January 1978. New Communities Administration projects issuing two guarantee commitments and three certificates of eligibility in fiscal year 1978 and 1979.</p> <p>This Schedule replaces National Archives Job Number NC 174-120, approved January 16, 1974.</p> <p>The microfilming will be done in accordance with the Federal Property Management Regulations (FPMR) 41 CFR 101-11.5.</p>		
	<p><i>[Signature]</i> Program Concurrence Date <u>1/19/78</u></p>	<p><i>[Signature]</i> Legal Concurrence Date <u>1-3-79</u></p>	<p>Subject to correspondence between R. Deelin & myself of this date.</p>

RECORDS DISPOSITION SCHEDULE 60

NEW COMMUNITIES RECORDS

Item No.	Description of Records	Disposition
1.	Inquiries from developers or others which do not result in a Pre-application, including correspondence or records of meetings seeking information concerning the Title VII New Communities Program.	Destroy when 1 year old.
(Note: The files in items 1-6 are arranged alphabetically by project name, by stage and by an alpha-numeric file code within each stage.)		
2.	Pre-applications which do not result in an application for a guarantee including summaries of proposals for development of a new town usually submitted in book or exhibit form, photographs, publications, brochures, and correspondence.	Destroy when 3 years old.
3.	Applications including initial inquiry, pre-application and related correspondence which do not result in a project agreement. These files contain indepth financial and market analysis, appraisals of land, demographic and economic analysis, cash flow analysis, environmental impact studies, maps and related documents and correspondence and internal staff analyses of these documents and correspondence.	Destroy when 5 years old.

old authority

225.6/16/4

225.6/16/1

225.6/16/2

RECORDS DISPOSITION SCHEDULE 60

NEW COMMUNITIES RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
4.	<p>Applications which do result in an executed Project Agreement between the new town developer and the Secretary of the Department. These files contain the information described in 3 above.</p> <p>(15 cubic feet on hand; additional accumulation expected only if the program reopens in January 1978 as planned. A maximum of 5 new applications is anticipated in fiscal year 1978.)</p>	
	a. Hard Copy	Destroy after film is checked and verified.
	b. Microfilm Jackets (original jacket and 1 diazo copy)	PERMANENT. Transfer to Federal Records Center after Secretary ceases to have any liability or interest in the Project. Offer to National Archives 10 years after Secretary ceases to have any liability or interest in the project.
5.	Closing Documents. These files contain documents executed by the Secretary and the developer at the time of Closing including a Project Agreement, Indenture of Mortgage and	

RECORDS DISPOSITION SCHEDULE 60

NEW COMMUNITIES RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
5.	Deed of Trust and other cont. related documents. (15 cubic feet on hand; additional accumulation expected only if the program reopens in January 1978 as planned. A maximum of 5 new projects is anticipated in fiscal year 1978.)	
	a. Hard Copy	Same as for item 4a above.
	b. Microfilm Jackets	Same as for item 4b above.
6.	Implementation Files. These files contain all correspondence, reports and studies received after execution of the Project Agreement necessary to monitor the developer's compliance with these agreements including amendments to development plans, financial reports, progress reports, marketing plans, cash flow analysis, grant activity reports and related staff analyses of these documents. (104 cubic feet on hand; accumulates about 22 cubic feet per year.)	
	a. Hard Copy	Same as for item 4a above.

RECORDS DISPOSITION SCHEDULE 60

NEW COMMUNITIES RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
6. cont.	b. Microfilm Jackets	Same as for item 4b above.
7.	New Community Development Corporation Board Books. These books contain Minutes of Board Meetings, Board Resolutions and reports submitted by the staff of the New Communities Administration recommending Board Action such as issuance of Debenture Guarantees, acquisition or disposition of a project or other major action regarding development of a new town. (5 cubic feet on hand; accumulates about 1 cubic foot per year.)	PERMANENT. Transfer to Federal Records Center 10 years after date of Board Meeting. Offer to National Archives 15 years after date of Board Meeting.
8.	Record copies of policy statements and special studies related to new town development. These files are maintained by fiscal year. (2 cubic feet on hand; accumulates about 1/2 cubic foot per year.)	PERMANENT. Transfer to Federal Records Center 5 years after end of fiscal year. Offer to National Archives 10 years after end of fiscal year.
9.	Record copies of internal operating procedures, regulations, delegations of authority, and documents relating to the development of legislative proposals. These files are maintained	Destroy when 6 years old.

RECORDS DISPOSITION SCHEDULE 60.

NEW COMMUNITIES RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
9. cont.	by fiscal year.	
10.	Congressional correspondence. Consists of incoming and outgoing correspondence with Congressmen, their staff, or Congressional Committees and related backup material.	
	a. Concerning a specific project. Congressional correspondence concerning a specific project is filed with that project file (items 2, 3, 4, or 6). Congressional correspondence which is a part of the project files listed in items 4 and 6 are microfilmed with the file.	Same as for the related project file in items 2, 3, 4, or 6 of this Schedule.
	b. Concerning the overall program. Congressional correspondence concerning the overall program is filed separately.	Destroy when 3 years old.
11.	General administrative or housekeeping files (such as budget, personnel, travel) consisting of reference copies.	Destroy when superseded or no longer needed for reference purposes.
12.	Technical reference file. Nonrecord copies of laws, regulations, directives, delegations of authority, policy statements,	Destroy when superseded or no longer needed for reference purposes.

RECORDS DISPOSITION SCHEDULE 60

NEW COMMUNITIES RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
12. cont.	publications and related material used for reference.	
13.	New Community Simulation Models (NUCOMS) automated system (System No. 147).	
	a. Data on tapes of the automated system.	Destroy upon termination of the program.
	b. Cash Flow Statement, also known as Cash Flow Analysis (computer printout).	
	(1) Copies filed in the related project files listed in items 3, 4, and 6 of this Schedule. Those printouts which are part of the project files listed in items 4 and 6 are microfilmed with the file.	Same as for the related project file in items 3, 4, or 6 of this Schedule.
	(2) All other copies.	Destroy when superseded or no longer needed for reference purposes.
	c. Risk Analysis Program (RAP) computer printouts.	Destroy when analysis complete.
	d. Special Analysis Reports (computer printouts).	

RECORDS DISPOSITION SCHEDULE 60

NEW COMMUNITIES RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
13. cont.	(1) Copies that become part of Board records in item 7 of this Schedule.	Same as for the Board records in item 7 of this Schedule.
	(2) All other copies.	Destroy when superseded or no longer needed for reference purposes.
	e. Annual Budget Control Documents (ABCD/(FRAM)) computer printouts, plus monthly updates. These printouts contain data only on approved projects.	
	(1) Copies filed in the related project files listed in items 4, 5, and 6 of this Schedule. These copies are microfilmed with the file.	Same as for the related project file in items 4, 5, or 6 of this Schedule.
	(2) All other copies.	Destroy when 6 years and 3 months old.